APR 1 5 2002

PTO/SB/21 (08-00)
Approved for use through 10/31/2002. OMB 0651-0031
Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

TO AN COMITTAL FORM	Application No.	09/668,610	RE
TRANSMITTAL FORM	Filing Date	September 22, 2000	112(
e used for all correspondence after initial filing	First Named Inventor	Carl M. Ellison	APR
	Group Art Unit	2131	echnolog.
	Examiner Name	Unassigned	echnology
Number of Pages in This Submission 7	Attorney Docket Number	42P8104X	

Total Number of F	Pages in This Submission	on 7	Attorney Docket Number	r 42I	P8104X
	ENCLOS	SURES (chec	k all that apply)		
Fee Transmittal	Form	Assignmen (for an App	t Papers lication)		After Allowance Communication to Group
Fee Attac	ched	Drawing(s)			Appeal Communication to Board of Appeals and Interferences
Amendment / Re	esponse	Licensing-r	elated Papers		Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)
After Fina Affidavits	al s/declaration(s)	Petition			Proprietary Information
Extension of Tin	ne Request	Petition to 0 Provisional	Convert a Application		Status Letter
Express Abando	onment Request	Power of A Change of	ttorney, Revocation Correspondence Addres		Other Enclosure(s) (please identify below):
Information Disc	closure Statement	Terminal D	sclaimer		PTO/SB/08
Certified Copy of Document(s)	of Priority	Request for Refund			
Response to Mincomplete Appl	ssing Parts/ lication	CD, Number of CD(s)			
Respons Parts und 1.52 or 1.	e to Missing der 37 CFR .53	Remarks			·
	SIGNATURE	OF APPLICAN	IT, ATTORNEY, OR A	GENT	Γ
Firm or	William W. Sch	aal, Reg. No.	39,018		
Individual name	BLAKELY, S	OKOLOFF, 1	TAYĻOR & ZAFN	/AN	LLP
Signature	Mi.	1/			
Date C	April 5, 2002				
			ING/TRANSMISSION		
I hereby certify that thi postage in an envelop	is correspondence is be be addressed to: Assista	eing deposited with ant Commissioner	the United States Posta for Patents, Washington	I Servi , D.C. 2	ce as First Class mail with sufficient 20231 on: April 5, 2002
Typed or printed na	me Corrinn R. F		, <u>, , , , , , , , , , , , , , , , , , </u>		
Signature	1/2	R. Ru	molde	Date	April 5, 2002

PTO/SB/17 (11-01)

Complete (if applicable)

Telephone

(714) 557-3800

04/05/02

Approved for use through 10/31/2002. OMB 0651-0032

U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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RANSMITTAL for FY 2002

(\$)

Patent fees are subject to annual revision.

Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT

SUBMITTED BY

William W. Schaal

Name (Print/Type)

Signature

C	omplete if Known	
Application Number	09/668,610	REOF
Filing Date	September 22, 20	000 , ICCEIVE
First Named Inventor	Carl M. Ellison	100 -
Examiner Name	Unassigned	APR 1 7 200
Group/Art Unit	2131	
Attorney Docket No.	42P8104X	echnology Center

METHOD OF PAYMENT (check one)		FEE CALCULATION (continued)				
☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None	3. AI	ODITIO	NAL	FEES	3	
Deposit Account	Large	Entity	Sma	II Entity	·	
_ bepeak/account	Fee	Fee	Fee	Fee	-	
Deposit Account 02-2666	Code	(\$)	Code	(\$)	Fee Description	Fee Paid
Number 02-2000	105	130	205	65	Surcharge - late filing fee or oath	
Account Blakely Sokoloff Taylor & Zafman LIP	127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
Account Name Blakely, Sokoloff, Taylor & Zafman LLP	139	130	139	130	Non-English specification	
The Commissioner is authorized to: (check all that apply)	147	2,520	147	2,520	For filing a request for ex parte reexamination	
☐ Charge fee(s) indicated below ☐ Credit any overpayments	112	920*	112	920 *	Requesting publication of SIR prior to Examiner action	
Charge any additional fee(s) during the pendency of the application	113	1.840*	113	1.840 *	Requesting publication of SIR after	I
Charge fee(s) indicated below, except for the filing fee				.,	Examiner action	
to the above-identified deposit account	115	110	215	55	Extension for reply within first month	
FEE CALCULATION	116	400	216	200	Extension for reply within second month	
1. BASIC FILING FEE	117	920	217	460	Extension for reply within third month	
Large Entity Small Entity	118	1,440	218	720	Extension for reply within fourth month	
Fee Fee Fee Fee Fee Description Fee Paid Code (\$)	128	1,960	228	980	Extension for reply within fifth month	
101 740 201 370 Utility filing fee	119	320	219	160	Notice of Appeal	
106 330 206 165 Design filing fee	120	320	220	160	Filing a brief in support of an appeal	
107 510 207 255 Plant filing fee	121	280	221	140	Request for oral hearing	
108 740 208 370 Reissue filing fee	138	1,510	138	1,510	Petition to institute a public use proceeding	
114 160 214 80 Provisional filing fee	140	110	240	55	Petition to revive - unavoidable	
SUBTOTAL (1) (\$)	141	1,280	241	640	Petition to revive - unintentional	
SUBTOTAL (I)	142	1,280	242	640	Utility issue fee (or reissue)	
2. EXTRA CLAIM FEES Extra Fee from	143	460	243	230	Design issue fee	
Ctaims below Fee Paid Total Claims	144	620	244	310	Plant issue fee	
Independent X = X	122	130	122	130	Petitions to the Commissioner	
Claims LX L	123	50	123	50	Processing fee under 37 CFR 1.17(q)	
Multiple Dependent =	126	180	126	180	Submission of Information Disclosure Stmt	
Large Entity Small Entity	581	40	581	40	Recording each patent assignment per property (times number of properties)	
Fee Fee Fee Fee Description Code (\$) Code (\$)	146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	
103 18 203 9 Claims in excess of 20	149	740	249	370	For each additional invention to be	
102 84 202 42 Independent claims in excess of 3	149	740	248	. 310	examined (37 CFR § 1.129(b))	
104 280 204 140 Multiple Dependent claim, if not paid 109 84 209 42 **Reissue independent claims over original	179	740	279	370	Request for Continued Examination (RCE)	
patent patent	169	900	169	900	Request for expedited examination	
110 18 210 9 **Reissue claims in excess of 20 and over original patent	Other fee	e (specify)	l		of a design application	
SUBTOTAL (2) (\$)	1					
**or number previously paid, if greater, For Reissues, see below	*Reduced	by Basic Film	g Fee Pai	d	SUBTOTAL (3) (\$)	

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Registration No.

(Attorney/Agent)

39,018



APR 15 DUL			Trademark C	for use through 10/31/2 Office: U.S. DEPARTM	ENT OF COMMERCE		
TRADENIA TO TRADENIA TRA	1995, no persons are re	Application No.	09/66		OMB control number.	\	
TRANSMITTAL F	ORM	Filing Date		mber 22, 2000			
(to be used for all correspondence aft	er initial filing)	First Named Inventor	1	M. Ellison	RECE	EIVED	
		Group Art Unit	2131				
		Examiner Name	Unass	signed	APK I	7 20 02	
Total Number of Pages in This Submiss	ion 8	Attorney Docket Numbe	+		Technology	Center 2100	
ENCLO	SURES (chec	k all that apply)					
Fee Transmittal Form	Assignmen	nt Papers olication)		After Allowance C to Group	Communication		
Fee Attached	Drawing(s))		Appeal Communi of Appeals and In	cation to Board terferences		
Amendment / Response	Licensing-	related Papers		Appeal Communi (Appeal Notice, B			
After Final Affidavits/declaration(s)	Petition			Proprietary Inform	nation		
Extension of Time Request	Petition to Provisional	Convert a I Application		Status Letter			
Express Abandonment Request	Power of A Change of	Power of Attorney, Revocation Change of Correspondence Address Other Enclosure(s) (please identify below					
Information Disclosure Statement	Terminal D	Terminal Disclaimer			PTO/SB/08 2 Cited References		
Certified Copy of Priority Document(s)		Request for Refund					
Response to Missing Parts/ Incomplete Application	CD, Number	er of CD(s)					
Response to Missing Parts under 37 CFR 1.52 or 1.53	Remarks						
SIGNATUR	E OF APPLICA	NT, ATTORNEY, OR A	GENT				
Firm William W. Scor		39,018 TAYLOR & ZAFN	4 A NI T I	· D			
Signature BLAREL1,		/ LOK & LAFN	יאו דין	<i></i>			
Date April 5, 2002							
CERTIF	ICATE OF MAIL	ING/TRANSMISSION					
I hereby certify that this correspondence is b postage in an envelope addressed to: Assistant						:	
Typed or printed name Corrinn R.	71 //						
Signature	X Ken	rolds	Date	April 5	5, 2002		

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. The will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Washington, DC 20231.

PTO/SB/17 (11-01)

Approved for use through 10/31/2002. OMB 0651-0032
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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FEETRANSMITTAL		Complete if Known	
	Application Number	09/668,610	CFILE
for FY 2002	Filing Date	September 22, 2000	TAF
Patent fees are subject to annual revision.	First Named Inventor	Carl M. Ellison	1720
Applicant claims small entity status. See 37 CFR 1.27.	Examiner Name	Unassigned Technol	· <002
	Group/Art Unit	2131 ""Ology	Cens
TOTAL AMOUNT OF PAYMENT (\$)	Attorney Docket No.	42P8104X	-viner 21)

METHOD OF PAYMENT (check one)	eck one) FEE CALCULATION (continued)					
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☐ Check ☐ Credit card ☐ Money ☐ Other ☐ None ☐ Deposit Account	Large	Entity	ı Smal	II Entity		
Debosit veconiti	Fee	Fee	Fee	Fee	-	
Deposit Account 02-2666	Code	(\$)	Code	(\$)	Fee Description Fee Pa	aid
Number	105	130	205	65	Surcharge - late filing fee or oath	\Box
Deposit Account Dialegly Sakoloff Taylor & Zafman I I D	127	50	227	25	Surcharge - late provisional filing fee or cover sheet.	
Account Name Blakely, Sokoloff, Taylor & Zafman LLP	139	130	139	130	Non-English specification	
The Commissioner is authorized to: (check all that apply)	147	2,520	147		For filing a request for ex parte reexamination	_
Charge fee(s) indicated below Credit any overpayments	112	920*	112	920 *	Requesting publication of SIR prior to Examiner action	H
Charge any additional fee(s) during the pendency of the application	113	1,840*	113	1.840 *	Requesting publication of SIR after	
Charge fee(s) indicated below, except for the filing fee					Examiner action	
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FEE CALCULATION	116	400	216	200	Extension for reply within second month	
1. BASIC FILING FEE	117	920	217	460	Extension for reply within third month	
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Fee Fee Fee Fee Fee Description Fee Paid Code (\$) Code (\$)	128	1,960	228	980	Extension for reply within fifth month	-
101 740 201 370 Utility filing fee	119	320	219	160	Notice of Appeal	_
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2. EXTRA CLAIM FEES Extra Fee from	143	460	243	230	Design issue fee	
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Total Claims	122	130	122	130	Petitions to the Commissioner	
Independent = X = =	123	50	123	50	Processing fee under 37 CFR 1.17(q)	_
Multiple Dependent =	126	180	126	180	Submission of Information Disclosure Stmt	
Large Entity Small Entity Fee Fee Fee Fee Fee Description	581	40	581	40	Recording each patent assignment per property (times number of properties)	
Code (\$) Code (\$)	146	740	246	370	Filing a submission after final rejection (37 CFR § 1.129(a))	$-\parallel$
103 18 203 9 Claims in excess of 20 102 84 202 42 Independent claims in excess of 3	149	740	249	370	For each additional invention to be	-
104 280 204 140 Multiple Dependent claim, if not paid		1			examined (37 CFR § 1.129(b))	_
109 84 209 42 **Reissue independent claims over original	179	740	279	370	Request for Continued Examination (RCE)	_
patent	169	900	169	900	Request for expedited examination of a design application	
110 18 210 9 **Reissue claims in excess of 20 and over original patent	Other fee	e (specify)				
SUBTOTAL (2) (\$)						
**or number previously paid, if greater, For Reissues, see below	*Reducedi	by Basic Filin	ig Fee Pair	d	SUBTOTAL (3) (\$)	
SUBMITTED BY			-		Complete (if applicable)	╡

SUBMITTED B	Υ			Comp	olete (if applicable)
Name (Print/Type)	William W. Schaal	Registration No. (Attorney/Agent)	39,018	Telephone	(714) 557-3800
Signature	Thus TI			Date	04/05/02

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In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/668,610

Filed: September 22, 2000

For: Protecting Software Environment in

Isolated Execution

Art Group: 2131

RECEIVED

APR 1 7 2002

Examiner: Unassigned

Technology Center 2100

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

Sir:

In accordance with the duty of disclosure, enclosed is a copy of Information Disclosure Statement by Applicant (form PTO/SB/08), which is being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s). Some or all of the references listed on the enclosed PTO/SB/08 were previously identified in the parent application (Application No. 09/540,946, filed March 31, 2000) and copies of the references were furnished at that time. Accordingly, per 37 CFR §1.98(d)(1) additional copies of those references are not submitted herewith.

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 (714) 557-3800

Date: April 05, 2002

CERTIFICATE OF MAILING

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Corrinn R. Revnolds

Date

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Docket No.: 42P8104X

4-19-02

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rechnology Center 210

HE UNITED STATES PATENT AND TRADEMARK OFFICE

Art Group: 2131

Unassigned

Examiner:

In Re the Application of:

CARL M. ELLISON, ET AL.

Application No.: 09/668,610

Filed: September 22, 2000

For: Protecting Software Environment in

Isolated Execution

INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97

Assistant Commissioner for Patents Washington, D.C. 20231

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-1-

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Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

William W. Schaal, Reg. No. 39,018

12400 Wilshire Blvd., 7th Floor Los Angeles, California 90025 (714) 557-3800

Date: April 05, 2002

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Corrinn R. Reynolds Date

Substitute for	Form	1449A/PTO	(Modified)

STATEMENT BY APPLICANT

usaas many sheets as necessary)

42P8104

2

1 5 2002 5

Complete if Known				
Application Number	09/668,610			
Filing Date	September 22, 2000			
First Named Inventor:	Carl M. Ellison			
Group Art Unit	2131			
Examiner Name	Unassigned			
Attorney Docket Number	42P8104X			

Exam. Cite No.¹	U.S. Patent Docur Number Kind C known)	Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
	4,366,537	Heller, et al.	12/28/82	
	5,075,842	Lai	12/24/91	
	5,255,379	Melo	10/19/93	
	5,459,869	Spilo	10/17/95	RECEIVE
	5,615,263	Takahashi	03/25/97	
	4,307,214	Birney, et al.	07/19/97	APR 1 7 2002
	5,717,903	Bonola	02/10/98	
	5,764,969	Kahle, et al.	06/09/98	Technology Center 2
	5,890,189	Nozue, et al.	03/30/99	
	5,987,557	Ebrahim	11/16/99	
	US2001003745	Metlitski, et al.	11/01/01	
				-

				FOREIGN PATENT DOCUMEN	NTS		
Exam. Initial*	Cite No.1	Office ³ Number ⁴ Kind Code ⁵		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant	T _e
		EP0600112	If known)	Seimens Nixdorf InformationSysteme	08/06/94	Figures Appear	
		WO9844402 WO9905600		PCT PCT	10/08/98 02/04/99		
		WO9909482		Seimens Nixdorf InformationSysteme	02/25/99		
		WO9957863 WO0062232		PCT PCT	11/11/99 10/19/00		
		WO0175595		Intel Corporation	10/11/01		
		WO0175565 EP1146715		Intel Corporation European Patent Application	10/11/01	-	

Examiner	Date Considered	
Signature		

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^{*}EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

¹Unique citation designation number. ²See attached Kinds of U.S. Patent Documents. ³Enter Office that issued the document, by the two-letter code (WIPO Standard S.3). ⁴For Japanese patent documents, the indication of the year of reign of the Emperor must precede the serial number of the patent document. ⁵Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST.16 if possible. ⁶Applicant is to place a check mark here if English language Translation is attached.





Substitute for Form 1449A/PTO (Modified)			Complete if Known				
REORMATION DISCLOSURE			Application Number	09/668,610			
			Filing Date	September 22, 2000			
STATEMENT BY APPLICANT			First Named Inventor:	Carl M. Ellison			
APR 1 5 7000 (use as many sheets as necessary)			Group Art Unit	2131			
			Examiner Name	Unassigned			
Showing TRE	DEF	42P8104X 2	Attorney Docket Number	42P8104X			
OTHER ART – NO PATENT LITERATURE DOCUMENTS							
Examiner Initials*	Cite No ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published					
		J. HEINRICH: "MIPS R4000 Microprocessor User's Manual," April 1, 1993, MIPS, MT. VIEW, XP002184449, pp. 61-97.					
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Examiner			Date				

*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication.

Considered

Signature

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